

sec news digest

Issue 95-136

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COMMISSION ANNOUNCEMENTS

SEC EDGAR TECHNOLOGY CONFERENCE

The Commission will hold a technology conference at SEC headquarters at 450 5th Street, N.W., Washington, D.C., in Room 1C30 on Monday, August 14, 1995.

The purpose of this conference is to solicit a wide range of views regarding the technologies to be employed in the SEC's electronic filing system known as EDGAR during the years 1997 through 2002. Potential topics might include: alternatives to ASCII, alternatives to the use of SGML, adding imaging to EDGAR filings, communications, document dissemination technologies.

Anyone interested in attending this one day, moderated conference is requested to call the SEC and register. Calls should be placed to (202) 942-8800. Space is limited to approximately 175 individuals on a first come, first served basis. Firms are asked to limit participation to two individuals.

Information gathered will be used in the development of an SEC Request for Proposals by which the recompetition of the current EDGAR contract will be accomplished.

SEC AND SIB ANNOUNCE JOINT INITIATIVE TO IMPROVE OVERSIGHT OF GLOBAL SECURITIES FIRMS

The Securities and Exchange Commission and the U.K. Securities and Investments Board (SIB) today announced a joint initiative to conduct in-depth studies of the financial, operational and management controls used by selected securities firms that conduct significant cross-border

derivatives and securities activities. The initiative is significant in that it brings together the major securities regulators in a practical exercise which will lead to a better understanding of each regulator's approaches and will contribute to better information exchange between the regulatory authorities in the U.S. and the United Kingdom. (Press Rel. 95-131)

ADMINISTRATIVE PROCEEDINGS

INITIAL DECISION IN THE MATTER OF RICHARD PUCCIO

Administrative Law Judge Glenn Robert Lawrence barred Richard J. Puccio from association with any broker-dealer, with a right to reapply for such association after five years (In the Matter of Richard J. Puccio, Administrative Proceeding File No. 3-8438, Initial Decision Release No. 68; July 10, 1995). Judge Lawrence found that Puccio was enjoined, on consent, by the U.S. District Court for the Southern District of New York, from further violations of the antifraud provisions of the federal securities laws (SEC v. Stratton Oakmont, Inc., et al., 92 Civ. 1993, JES, Nov. 4, 1992). The injunction arose from conduct violative of the federal securities laws which Puccio was alleged to have engaged in while employed at the broker-dealer Stratton Oakmont from February 1989 to June 1991.

Judge Lawrence, in determining an appropriate sanction, considered, among other factors, the egregiousness of the "boiler room" tactics Puccio admitted to have engaged in, his degree of scienter in engaging in such tactics, and Puccio's failure to acknowledge his individual responsibility for his fraudulent activities. Further, Judge Lawrence stated: "To impose a lesser sanction than warranted by his conduct because of Puccio's age, inexperience and reliance on his employer would only encourage others similarly situated to flout the duties imposed on them by the federal securities laws . . . [and] encourage unscrupulous boiler room operators to use and manipulate young, inexperienced brokers."

The order barring Puccio will become the final decision of the Commission unless a party files a petition for review within fifteen days or the Commission reviews the decision on its own motion. (Initial Decision Release No. 68)

ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTIONS ENTERED AGAINST CLARIDEN ASSET MANAGEMENT (NEW YORK) INC. AND MAI POGUE

The Commission announced that on July 10 it simultaneously instituted and settled administrative and cease-and-desist proceedings pursuant to Sections 203(e) and (k) of the Investment Advisers Act of 1940 (Advisers Act) against Clariden Asset Management (New York) Inc. (Clariden), and Mai N. Pogue (Pogue), Clariden's President.

Clariden and Pogue consented to the Order without admitting or denying the Commission's findings. The Order directs Clariden to cease and desist from committing or causing violations of Section 206(3) of the Advisers Act, pay a civil penalty of \$50,000, and maintain certain revised compliance procedures; and Pogue to cease and desist from causing violations of Section 206(3).

The Order alleges: Clariden effected 1,463 securities transactions on behalf of investment advisory clients, through an affiliate which executed them on a principal basis, despite a prohibition against such transactions in Clariden's compliance manual. Clariden did not advise its clients of the capacity in which the affiliate acted in those transactions, or seek and obtain client consent before the completion thereof, in violation of Section 206(3). Pogue caused Clariden to effect the transactions notwithstanding her knowledge of the manual's prohibition, and she knew or should have known that notice and consent were lacking. (Rel. IA-1504)

H.D. VEST INVESTMENT SECURITIES, INC. SANCTIONED AND FINED

The Commission has issued an Order Instituting Public Administrative Proceedings, Making Findings and Imposing Remedial Sanctions against H. D. Vest Investment Securities, Inc., a registered broker-dealer. The Commission found that H.D. Vest failed reasonably to supervise a registered representative, who was a person subject to the firm's supervision, with a view toward preventing violations of the anti-provisions of the securities laws which supervision is required by Section 15(b)(4)(E) of the Exchange Act. Simultaneously with the institution of the proceedings, the Commission accepted an Offer of Settlement from H. D. Vest wherein the firm consented, without admitting or denying the findings contained therein, to the issuance of the order and the sanctions imposed.

The Order censures HDVest, makes findings of the violations as alleged, imposes a civil penalty of \$50,000, and directs HDVest to comply with its undertakings to supplement and modify its compliance and supervisory policies and procedures, to retain an independent consultant to conduct a review of, report on, and make recommendations regarding HD Vest's supervisory and compliance policies and procedures, to adopt the recommendations of the independent consultant; and to file an affidavit indicating that it has complied with the terms of the Commission's Order. (Rel. 34-35946)

ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTION ENTERED AGAINST JOHN NAKOSKI, individually and d/b/a NAKOSKI INVESTMENT MANAGEMENT

The Commission announced that on July 10 it simultaneously instituted and settled administrative proceedings against John T. Nakoski, individually and d/b/a Nakoski Investment Management (Nakoski). Nakoski consented to the issuance of the Order, barring him from association with any broker, dealer, investment company, investment adviser, or municipal securities dealer, without admitting or denying the Commission's findings.

Pursuant to the Order and Nakoski's Offer of Settlement, the Commission found that from July 1988 through August 1994, Nakoski was associated with a broker-dealer registered with the Commission. The Commission further found that Nakoski has been permanently enjoined on consent from violating, among other things, the antifraud provisions of the federal securities laws. The Commission's complaint alleged as follows: Nakoski defrauded approximately thirty-five investors of approximately \$450,000 by means of a "Fixed Income Loan Agreement" (Note), pursuant to which he guaranteed principal and interest on investments through his investment business. Nakoski misrepresented the safety of the Notes and the use of investors' monies. Nakoski used investors' money to invest in futures and futures options and for personal and business expenses. In addition, Nakoski illegally acted as an unregistered investment adviser and violated certain custody and disclosure requirements (SEC v. John T. Nakoski, individually and d/b/a Nakoski Investment Management, 95 Civ. 0738, RSP, NDNY; LR-14515). (Rels. 34-35947; IA-1505)

ADMINISTRATIVE PROCEEDING INSTITUTED AGAINST LEE PIOSKE

The Commission issued an Order on July 10 instituting a public administrative proceeding pursuant to Section 15(b) of the Securities Exchange Act of 1934 (Exchange Act) against Lee F. Pioske (Pioske). Pioske created and directed a fraudulent Ponzi scheme, Pioske Financial Services (PFS), involving the sale of interests in fictitious bond and commodity pools to more than 171 investors in several states over a two-year period.

Pioske, without admitting or denying the Commission's findings, consented to the entry of an Order which finds that he was barred for violations of Sections 5(a), 5(c), and 17(a) of the Securities Act of 1933, and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder. The Order bars Pioske from association with any broker, dealer, municipal securities dealer, investment adviser or investment company. Additionally, Pioske previously pled guilty to mail and securities fraud in connection with this scheme. He was sentenced to serve nine years in prison and ordered to pay \$2.9 million in restitution. Pioske is currently incarcerated in federal prison in Arizona. (Rel. 34-35948)

ADMINISTRATIVE PROCEEDING INSTITUTED AGAINST WILLIAM MORIARTY

The Commission issued an Order on July 10 instituting a public administrative proceeding pursuant to Section 15(b) of the Securities Exchange Act of 1934 (Exchange Act) against William J. Moriarty (Moriarty), a salesman for Pioske Financial Services (PFS), formerly doing business in several states. Moriarty acted in a reckless manner by offering interests in PFS's fraudulent commodity and bond pools without conducting adequate due diligence. As a registered representative, Moriarty had a duty to perform a due diligence investigation of the securities he was selling.

Moriarty, without admitting or denying the Commission's findings, consented to the entry of an Order which finds that he was barred for violations of Sections 5(a), 5(c), and 17(a) of the Securities Act of 1933, and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder. The Order bars Moriarty from association with any broker, dealer, municipal securities dealer, investment adviser or investment company. (Rel. 34-35949)

COMPLAINT FILED AGAINST BARRY BENJAMIN AND STEVE ZULOFF

The Commission announced the filing of a complaint on July 11 against Barry R. Benjamin (Benjamin), and Steve Zuloff (Zuloff), formerly officers and directors of With Design In Mind International, Inc., (Design Int'l), a publicly-held company located in Chatsworth, California. Design Int'l is now known as Janex International, Inc.

The Commission's complaint alleges that from 1988 through at least March 1992, Benjamin and Zuloff misappropriated \$1,343,014 from With Design In Mind (WDIM), the subsidiary through which Design Int'l conducted its business. The complaint further alleges that Benjamin and Zuloff accomplished their thefts from WDIM through several fraudulent schemes including phony payments to a company supplier, diversion of royalty payments due to WDIM from a distributor, and through unearned sales commissions paid to a private company owned by Benjamin's and Zuloff's children. As a result of their misappropriation, the cost of sales were overstated and revenues were understated in WDIM's books and records and periodic reports filed with the Commission.

Without admitting or denying the allegations in the complaint, Benjamin and Zuloff have consented to the entry of a final judgment permanently enjoining them from future violations of the antifraud, reporting, recordkeeping, internal controls and proxy provisions and orders an officer director bar. [SEC v. Barry R. Benjamin and Steve Zuloff, Civil Action No. 95-4564, TJH, Ex, CD Cal.] (LR-14558; AAE Rel. 686)

FINAL JUDGMENT ENTERED AGAINST ABE INDUSTRIAL HOLDINGS, INC., DENNIS DIXON AND DIETER ECKERT

The Commission announced that on July 5 a final judgment of permanent injunction by default (Final Judgment) was entered against A.B.E. Industrial Holdings, Inc. (ABE), a publicly-held Delaware corporation that was formerly based in Boca Raton, Florida, Dennis E. Dixon (Dixon) of Pompano Beach, Florida, and Dieter F. Eckert (Eckert) of Limburg, Germany. The Final Judgment also orders Dixon to pay a \$100,000 civil penalty. Dixon is ABE's former treasurer. Eckert is ABE's president.

The Final Judgment enjoins ABE, Dixon and Eckert from violating certain antifraud and books and records provisions of the federal securities laws.

The complaint alleges that between in or about July 1991 and January 1992, ABE, through Dixon and Eckert, filed reports with the Commission and issued press releases to the public which materially misstated ABE's true financial condition by, among other things, overstating ABE's assets by more than \$31 million or by approximately 94% of the company's total assets. [SEC v. A.B.E. Industrial Holdings, Inc., et al., Civil Action No. 94-8575-CIV-RYSKAMP, S.D. Fla.] (LR-14559)

RELIEF AGAINST WEALTH INTERNATIONAL NETWORK IS CONTINUED

The Commission announced on July 14 that United States District Court Judge Charles A. Moye, Jr., after a hearing in this matter, has ordered that the relief which he ordered in the Temporary Restraining Order entered July 5th be continued until a resolution of this matter on the merits or until the Order is modified. Pursuant to the Order, defendants Wealth International Network (WIN), Discovery Financial Investments (DFI) and André Brady are prohibited from engaging in violations of the federal securities laws, are required to provide a full accounting of the assets and monies received from members and investors in WIN and DFI, and are prohibited from accepting additional funds from actual or potential investors, or from actual or potential members. In addition, pursuant to the Order, all funds of WIN, DFI and Brady, as well as certain other funds of parties named as relief defendants in the Commission's action, are frozen. Judge Moye also set a discovery schedule which anticipates that the trial of this matter will occur in the fall of 1995. For further information see LR-14552. [SEC v. Wealth International Network, et al., USDC, ND GA, Civil Action No. 1:95-CV-1722-CAM] (LR-14560)

INVESTMENT COMPANY ACT RELEASES

SUNAMERICA SERIES TRUST, ET AL.

A notice has been issued giving interested persons until August 8 to request a hearing on an application filed by SunAmerica Series Trust, et al. for a conditional order under Section 6(c) of the Investment Company Act granting an exemption from Section 17(e) of the Act and Rule 17e-1 thereunder. The requested order would permit each present and future portfolio of applicants and other registered investment companies that in the future are in the same "group of investment companies," as defined in Rule 11a-3, to use affiliated persons of affiliated persons of such portfolio as brokers in connection with certain principal transactions by the portfolio, and to pay commissions, fees, or other remuneration to such brokers without complying with the monitoring and recordkeeping requirements set forth in Rule 17e-1. Each broker would be an affiliated person of an affiliated person of the portfolio solely by reason of subadvisory relationships with other portfolios that are affiliated persons of the portfolio engaging in the transaction. (Rel. IC-21203 - July 14)

FINANCIAL SQUARE TRUST

A notice has been issued giving interested persons until August 8 to request a hearing on an application filed by Financial Square Trust for an order under Section 8(f) of the Investment Company Act declaring that it has ceased to be an investment company. (Rel. IC-21204 - July 14)

HOLDING COMPANY ACT RELEASES

CONSOLIDATED NATURAL GAS COMPANY, INC., ET AL.

An order has been issued authorizing a proposal by Consolidated Natural Gas Company (CNG), a registered holding company, and its wholly owned subsidiary companies, CNG Research Company, Consolidated Natural Gas Service Company, Inc., CNG Coal Company, CNG Producing Company (Producing), CNG Pipeline Company, CNG Transmission Corporation, CNG Storage Service Company, CNG Energy Services Corporation (Energy Services), The Peoples Natural Gas Company, The East Ohio Gas Company, Virginia Natural Gas, Inc., Hope Gas, Inc., and West Ohio Gas Company (collectively, Subsidiaries). CNG Producing proposes to purchase up to 10,000 shares of its common stock from CNG through June 30, 1996. Additionally, CNG Energy Services proposes to issue and sell shares of its common stock to CNG at amounts greater than par up to a maximum of \$10,000 per share. (Rel. 35-26332)

CONSOLIDATED NATURAL GAS CO., ET AL.

A notice has been issued giving interested persons until August 7 to request a hearing on a proposal by Consolidated Natural Gas Co. (Consolidated), a registered public utility holding company, and Consolidated System LNG Company (Consolidated LNG), a wholly owned subsidiary company of Consolidated, for Consolidated LNG to buy back (at par) shares of its common stock, \$10,000 par value per share, from Consolidated to effect a return of capital to the parent. (Rel. 35-26333)

CENTRAL OHIO COAL CO., ET AL.

A notice has been issued giving interested persons until August 7 to request a hearing on a proposal by Central Ohio Coal Company, Southern Ohio Coal, and Windsor Coal Company, all subsidiary companies of Ohio Power Company, an electric utility subsidiary company of American Electric Power Company, Inc., a registered holding company, to sell coal to non-associate companies through December 31, 2000. (Rel. 35-26333)

SELF-REGULATORY ORGANIZATIONS

APPLICATION FOR REGISTRATION

The United States Stock Exchange has filed Amendment No. 2 to its Application for Registration as a national securities exchange (File No. 10-101) pursuant to Section 19(a) of the Exchange Act. Publication of the proposal is expected in the Federal Register during the week of July 17. (Rel. 34-35972)

APPROVAL OF PROPOSED RULE CHANGE

The Commission approved a proposed rule change submitted by the Chicago Stock Exchange (SR-CHX-95-11) relating to a one-year pilot program for automatic execution of limit orders. (Rel. 34-35962)

PROPOSED RULE CHANGE

The American Stock Exchange filed a proposed rule change (SR-Amex-95-24) relating to the modification of the Amex's odd-lot pricing system to provide execution at the Intermarket Trading System best bid or offer. Publication of the proposal is expected in the Federal Register during the week of July 17. (Rel. 34-35963)

SECURITIES ACT REGISTRATIONS

The following registration statements have been filed with the SEC under the Securities Act of 1933. The reported information appears as follows: Form, Name, Address and Phone Number (if available) of the issuer of the security; Title and the number and/or face amount of the securities being offered; Name of the managing underwriter or depositor (if applicable); File number and date filed; Assigned Branch; and a designation if the statement is a New Issue.

- S-8 GEORGIA PACIFIC CORP, 133 PEACHTREE ST NE, 41ST FL, ATLANTA, GA 30303
(404) 521-4000 - 2,000,000 (\$147,680,000) COMMON STOCK. (FILE 33-60933 - JUL. 10) (BR. 9)
- S-3 PEOPLES BANCTRUST CO INC, 310 BROAD ST, SELMA, AL 36701 (205) 875-1000
- 200,000 (\$3,200,000) COMMON STOCK. (FILE 33-60935 - JUL. 10) (BR. 2)
- S-8 BMC INDUSTRIES INC/MN/, 2 APPLETREE SQUARE, MINNEAPOLIS, MN 55425
(612) 851-6000 - 507,000 (\$2,572,011) COMMON STOCK. (FILE 33-60937 - JUL. 10) (BR. 6)
- S-3 FARAH INC, 8889 GATEWAY WEST, EL PASO, TX 79925 (915) 593-4444 -
619,000 (\$4,023,500) COMMON STOCK. (FILE 33-60941 - JUL. 10) (BR. 7)
- S-8 VIACOM INC, 200 ELM ST, DEDHAM, MA 02026 (617) 461-1600 - 1,070,000
(\$65,143,928) COMMON STOCK. (FILE 33-60943 - JUL. 10) (BR. 7)
- S-3 PHOTRONICS INC, 1061 INDIANTOWN ROAD, SUITE 318, JUPITER, FL 33477
(407) -74-7-41 - 98,559 (\$3,117,421) COMMON STOCK. (FILE 33-60945 - JUL. 10) (BR. 9)
- S-8 XICOR INC, 1511 BUCKEYE DR, MILPITAS, CA 95035 (408) 432-8888 - 200,000
(\$1,375,000) COMMON STOCK. (FILE 33-60947 - JUL. 10) (BR. 3)
- S-8 FIRST CHARTER CORP /NC/, 22 UNION ST N, CONCORD, NC 28026 (704) 786-3300
- 300,000 (\$5,850,000) COMMON STOCK. (FILE 33-60949 - JUL. 10) (BR. 1)
- S-8 FIRST CHARTER CORP /NC/, 22 UNION ST N, CONCORD, NC 28026 (704) 786-3300
- 100,000 (\$1,013,000) COMMON STOCK. (FILE 33-60951 - JUL. 10) (BR. 1)
- S-3 ANGEION CORP/MN, 3650 ANNAPOLIS LN, STE 170, MINNEAPOLIS, MN 55447
(612) 550-9388 - 2,500,000 (\$12,343,750) COMMON STOCK. (FILE 33-60953 - JUL. 10) (BR. 8)
- S-3 BROWN ALEX INC, 135 E BALTIMORE ST, BALTIMORE, MD 21202 (410) 727-1700
(FILE 33-60955 - JUL. 10) (BR. 11)
- S-8 CALIFORNIA MICROWAVE INC, 985 ALMANOR AVE, SUNNYVALE, CA 94086
(408) 732-4000 - 132,612 (\$3,215,824) COMMON STOCK. (FILE 33-60957 - JUL. 10) (BR. 8)
- S-8 QUICKTURN DESIGN SYSTEMS INC, 440 CLYDE AVE, MOUNTAIN VIEW, CA 94043
(415) 967-3300 - 1,250,000 (\$11,250,000) COMMON STOCK. (FILE 33-93092 - JUN. 05) (BR. 8)
- S-8 COLUMBUS ENERGY CORP, 1660 LINCOLN ST #2400, DENVER, CO 80264
(303) 861-5252 - 400,000 (\$3,100,000) COMMON STOCK. (FILE 33-93156 - JUN. 06) (BR. 4)

REGISTRATIONS CONT.

- S-8 CROSSCOMM CORP, 450 DONALD LYNCH BLVD, MARLBORO, MA 01752 (508) 481-4060
- 250,000 (\$2,984,375) COMMON STOCK. (FILE 33-93834 - JUN. 23) (BR. 9)
- SB-2 WMA INTERNATIONAL CORP, 5555 TRIANGLE PARKWAY NW, SECOND FL, NORCROSS,
GA 30092 (404) 453-9300 - 1,500,000 (\$15,000,000) COMMON STOCK. 1,000,000
(\$5,500,000) WARRANTS, OPTIONS OR RIGHTS. (FILE 33-94226-A - JUN. 28)
(BR. 10 - NEW ISSUE)
- SB-2 HORIZON ONE INC, 80 ORVILLE DR, #120, BOHEMIA, NY 11716 (516) 244-1454
- 575,000 (\$2,875,000) COMMON STOCK. (FILE 33-94238-NY - JUN. 29) (BR. 14
- NEW ISSUE)
- SB-2 TRIATHLON BROADCASTING CO, SYMPHONY TOWERS, 750 B ST STE 1920,
SAN DIEGO, CA 92101 (619) 239-4242 - 2,500,000 (\$15,240,000) COMMON STOCK.
UNDERWRITER: AMERICORP SECURITIES INC, ROYCE INVESTMENT GROU INC. (FILE
33-94316 - JUL. 06) (BR. 7 - NEW ISSUE)
- S-8 HMN FINANCIAL INC, 101 N BROADWAY, SPRING VALLEY, MN 55975
(507) 346-7345 - 121,715 (\$1,666,278.35) COMMON STOCK. (FILE 33-94386 -
JUL. 07) (BR. 2)
- S-8 HMN FINANCIAL INC, 101 N BROADWAY, SPRING VALLEY, MN 55975
(507) 346-7345 - 608,577 (\$8,331,419.13) COMMON STOCK. (FILE 33-94388 -
JUL. 07) (BR. 2)
- S-4 PREMIER BANCORP INC, 451 FLORIDA ST, BATON ROUGE, LA 70801
(504) 332-7277 - 427,773 (\$5,167,497.84) COMMON STOCK. (FILE 33-94390 -
JUL. 07) (BR. 1)
- SB-2 LIBERTY CONSOLIDATED MINES INC, 10175 JOERSCHKE DR, STE 201,
GRASS VALLEY, CA 95945 (916) 478-9222 - 800,000 (\$4,000,000) COMMON STOCK.
(FILE 33-94392 - JUL. 07) (BR. 2 - NEW ISSUE)
- S-3 LIFE USA HOLDING INC /MN/, STE 600 INTERCHANGE N BLDG, 300 S HWY 169,
MINNEAPOLIS, MN 55426 (612) 546-7386 - 1,700,000 (\$14,981,250)
COMMON STOCK. (FILE 33-94394 - JUL. 07) (BR. 9)
- S-8 BENIHANA INC, 8685 NW 53RD TERRACE, MIAMI, FL 33166 (305) 593-0770 -
600,000 (\$5,250,000) COMMON STOCK. (FILE 33-94396 - JUL. 07) (BR. 11)
- S-8 BIOJECT MEDICAL TECHNOLOGIES INC, 7620 S W BRIDGEPORT RD, PORTLAND, OR
97224 (503) 639-7221 - 1,000,000 (\$1,437,500) COMMON STOCK. (FILE
33-94400 - JUL. 07) (BR. 12)
- SB-2 INTERIORS INC, 320 WASHINGTON ST, MT VERNON, NY 10553 (914) 665-5400 -
460,000 (\$2,300,000) PREFERRED STOCK. 2,290,000 (\$114,700)
WARRANTS, OPTIONS OR RIGHTS. 2,410,000 (\$13,265,000) PREFERRED STOCK.
100,000 (\$500,000) COMMON STOCK. (FILE 33-94404 - JUL. 07) (BR. 1)
- S-8 KENTUCKY FIRST BANCORP INC, 306 NORTH MAIN ST, CYNTHIANA, KY 41031
(606) 654-6961 - 45,000 (\$450,000) COMMON STOCK. (FILE 33-94406 - JUL. 07)
(BR. 2)
- S-4 PLATINUM TECHNOLOGY INC, 1815 S MEYERS RD, OAKBROOK TERRACE, IL 60181
(708) 620-5000 - 14,353,290 (\$146,820,517.89) COMMON STOCK. (FILE
33-94410 - JUL. 07) (BR. 9)
- N-1A TRANS ADVISER FUNDS INC, PO BOX 90001, BOWLING GREEN, KY 42102
(502) 781-5000 - INDEFINITE SHARES. (FILE 33-94412 - JUL. 07) (BR. 17
- NEW ISSUE)